

## Securities and Exchange Commission

## Pt. 275

the EDGAR system, submit filings, and change its CCC.

(4) Password Modification Authorization Code (PMAC)—allows a filer, filing agent or training agent to change its Password.

(b) Form ID also may be used for the purpose of requesting a reassignment of their CCC, PW and PMAC.

[57 FR 18221, Apr. 29, 1992]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ID, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§274.403 Form SE, form for submission of paper format exhibits by electronic filers.**

This form shall be used by an electronic filer for the submission of any paper format document relating to an otherwise electronic filing, as provided in rule 311 of Regulation S-T (§232.311 of this chapter).

[58 FR 14861, Mar. 18, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form SE, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§274.404 Form TH—Notification of reliance on temporary hardship exemption.**

Form TH shall be filed by any electronic filer who submits to the Commission, pursuant to a temporary hardship exemption, a document in paper format that otherwise would be required to be submitted electronically, as prescribed by rule 201(a) of Regulation S-T (§232.201(a) of this chapter).

[58 FR 14861, Mar. 18, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TH, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

## **PART 275—RULES AND REGULATIONS, INVESTMENT ADVISERS ACT OF 1940**

Sec.

275.0-2 General procedures for serving non-residents.

275.0-3 References to rules and regulations.

275.0-4 General requirements of papers and applications.

275.0-5 Procedure with respect to applications and other matters.

275.0-6 Incorporation by reference in applications.

275.0-7 Small entities under the Investment Advisers Act for purposes of the Regulatory Flexibility Act.

275.202(a)(1)-1 Certain transactions not deemed assignments.

275.203-1 Application for investment adviser registration.

275.203-2 Withdrawal from investment adviser registration.

275.203-3 Hardship exemptions.

275.203(b)(3)-1 Definition of “client” of an investment adviser.

275.203A-1 Eligibility for SEC registration; switching to or from SEC registration.

275.203A-2 Exemptions from prohibition on Commission registration.

275.203A-3 Definitions.

275.203A-4 Investment advisers registered with a State securities commission.

275.203A-5 [Reserved]

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275.205-1 Definition of “investment performance” of an investment company and “investment record” of an appropriate index of securities prices.

275.205-2 Definition of “specified period” over which the asset value of the company or fund under management is averaged.

275.205-3 Exemption from the compensation prohibition of section 205(a)(1) for investment advisers.

275.206 (3)-1 Exemption of investment advisers registered as broker-dealers in connection with the provision of certain investment advisory services.

275.206(3)-2 Agency cross transactions for advisory clients.

275.206(4)-1 Advertisements by investment advisers.

275.206(4)-2 Custody or possession of funds or securities of clients.

275.206(4)-3 Cash payments for client solicitations.

275.206(4)-4 Financial and disciplinary information that investment advisers must disclose to clients.

275.222-1 Definitions.

275.222-2 Definition of “client” for purposes of the national de minimis standard.

AUTHORITY: 15 U.S.C. 80b-2(a)(11)(F), 80b-2(a)(17), 80b-3, 80b-4, 80b-6(4), 80b-6a, 80b-11, unless otherwise noted.